

DETAILED INSPECTION CHECKLIST

FA SC STMT TEXT

965 NONAPPROPRIATED FUND PROCUREMENT

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965 00 NO SUBCAT FOR THESE STATEMENTS

965 00 001 Does each NAF contracting officer and purchasing agent who is signing contracts or agreements on behalf of MCCS have a Certificate of Appointment (often referred to as a warrant) issued by MR that provides sufficient authority for the types of contracts and dollar values for which the individual is signing? (Note: Not all procurement staff will be issued a Certificate of Appointment.)

Reference

MCO P7010.20, par 1003

965 00 002 Is legal review documentation retained in the contract file for support contracts that exceed \$100,000, contracts which exceed five years in length, revenue generating contracts which are expected to generate sales in excess of \$300,000 over the term of the contract, and as otherwise required by policy?

Reference

MCO P7010.20, par 1009

965 00 003 Is there an adequate separation of functions to protect the integrity of the procurement process? Are procurement request preparations, purchasing, receiving, and payment functions performed by different people and under different oversight? Are the names and signatures, of the individuals who prepared the procurement request and performed the purchase function documented in the purchase file? Are the names and departments of the individuals who performed the receiving and payment functions documented in Accounting Department records? (Note: These records may be electronic or manual).

Reference

MCO P7010.20, par 1010

965 00 004 Are ratifications of unauthorized procurement actions properly submitted and approved?

Reference

MCO P7010.20, par 1013

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- 965 00 005 Do MCCS procurement personnel complete annual ethics training and file annual Confidential Financial Disclosure Reports with their Ethics Counselor?
Reference
MCO P7010.20, par 1015
- 965 00 006 Do the solicitations and contracts, purchase orders, delivery orders, and agreements follow the Uniform Procurement Instrument Identification Numbering System? Specifically, the first three characters indicate the company (command) code, the second two characters indicate the fiscal year, the sixth character indicates the type of contract, and the last four characters indicate the sequential number of the contract/order?
Reference
MCO P7010.20, par 2000
- 965 00 007 Is an electronic and/or manual Purchase Request (PR) retained in the purchase/contract file? Does the PR indicate the certified funding amounts and have the necessary approvals? If the purchase exceeded the amount funded on the PR, was additional funding approval obtained and documented before the procurement was made?
Reference
MCO P7010.20, par 2005, 2006, 3002 and 3003
- 965 00 008 Does the official purchase order file include the original request for quotes, quotes received or justification for noncompetitive procurement, completed Record of Negotiations Form (401-R) or Justification for Award memorandum, and awarded purchase order?
Reference
MCO P7010.20, par 2005, 6006, and 6009 through 6011
- 965 00 009 Does the official contract file include the original solicitation, source list, all offers received or justification for noncompetitive procurement, evaluation documentation, awarded contract, and contract administration actions with supporting data?
Reference
MCO P7010.20, par 2006, 6006, and 6306
- 965 00 010 Are all Fixed Assets purchased by a contracting officer or purchasing agent in the procurement office?
Reference
MCO P7010.20, par 2008 and 6401.11

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- 965 00 011 Does the purchase order or contract contain adequate specifications to describe the goods or services being purchased?
Reference
MCO P7010.20, par 3001 and 3006
- 965 00 012 Is a current Certificate of Insurance retained in the Contract file for services which are potentially hazardous to the MCCS, such as: carnivals, food operations, and those with direct patron contact (such as barber or optical shops)?
Reference
MCO P7010.20, par 3007
- 965 00 013 Is the Department of Labor (DOL) Wage Determination, from the <http://www.wdol.gov> site included in contracts which are governed by the Service Contract Labor Standards Act (i.e. formerly known as the Service Contract Act (SCA) for non-professional service contracts employing concession sales associates, vending machine attendants, custodial, maintenance, food service personnel, etc.)?
Reference
MCO P7010.20, par 5303
- 965 00 014 Does the purchase order or contract file include a determination of contractor responsibility and a fair and reasonable price determination? Is competition obtained and documented on (non-resale) purchase orders and contracts in excess of \$5000? If not competed, is justification for noncompetitive procurement action documented in the contract file? These determinations may be documented on a properly completed Record of Negotiations form (401-R) or a Justification for Award Memorandum.
Reference
MCO P7010.20, par 6001, 6003, 6004 and 6006
- 965 00 015 Does each purchase order or contract include the applicable contract clauses, including at a minimum the the DoDD 4105.67 required: Changes; Examination of Records; Claims (also known as Disputes or Dispute Resolution); and Terminations?
Reference
MCO P7010.20, par 6201, 6301, 6304.1 and 6305
- 965 00 016 Are proposals received in response to Requests for Proposals (RFPs) held in a secure location with limited access between the time of receipt and award?
Reference
MCO P7010.20, par 6313

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- 965 00 017 Is each purchase cardholder delegated procurement authority, in writing, to include a single and monthly purchase limit?
Reference
MCO P7010.20, par 6401.2
- 965 00 018 Is the approving officials' signature on each cardholder's monthly statement, and has approving official ensured all documentation has been forwarded to the Accounting Department for payment of the monthly purchase card invoice?
Reference
MCO P7010.20, par 6401.3
- 965 00 019 Are contract modifications numbered consecutively, and is signed documentation explaining the modification action retained in the contract file?
Reference
MCO P7010.20, par 7004
- 965 00 020 Are contract termination actions coordinated with Counsel, and are supporting documentation retained in the contract file?
Reference
MCO P7010.20, par 7205-7209